UNITED STATES DISTRICT COURT EASTERN DISTRICT OF WASHINGTON

DAVID W. HAMMOND,

Plaintiff,

v.

MICHAEL J. ASTRUE,
Commissioner of Social
Security,

Defendant.

No. CV-10-00096-CI

ORDER GRANTING DEFENDANT'S MOTION FOR SUMMARY JUDGMENT AND DENYING PLAINTIFF'S MOTION FOR SUMMARY JUDGMENT

BEFORE THE COURT are cross-Motions for Summary Judgment (ECF No. 13, 16.) Attorney Rebecca M. Coufal represents Plaintiff; Special Assistant United States Attorney L. Jamala Edwards represents Defendant. The parties have consented to proceed before a magistrate judge. (ECF No. 6.) After reviewing the administrative record and briefs filed by the parties, the court GRANTS Defendant's Motion for Summary Judgment and DENIES Plaintiff's Motion for Summary Judgment.

JURISDICTION

Plaintiff David D. Hammond (Plaintiff) protectively filed for disability insurance benefits (DIB) and security income (SSI) on September 23, 2005. (Tr. 92.) In both cases, Plaintiff alleged an onset date of November 19, 2002. (Tr. 91.) Benefits were denied initially on February 6, 2006, and on reconsideration on May 10,

2006. (Tr. 45, 339.) Plaintiff requested a hearing before an administrative law judge (ALJ), which was held before ALJ Paul Gaughen on November 20, 2007. (Tr. 476-515.) Plaintiff was represented by counsel and testified at the hearing. (Tr. 482-514.) At a supplemental hearing on May 22, 2008, medical expert Ronald M. Klein, M.D. and vocational expert K. Dennis Kramer testified. (Tr. 520-42; 552-60.) ALJ Paul Gaughen denied benefits. (Tr. 353-67.) The Appeals Council granted review and remanded for additional findings. (Tr. 375-77.)

A second hearing was held before ALJ Gaughen on August 27, 2009. (Tr. 563-618.) Appearing and testifying at the second hearing were Plaintiff, medical expert Margaret R. Moore, Ph.D., and vocational expert Fred Cutler. (Tr. 596-603; 574-96; 603-612.) The ALJ again denied benefits and the Appeals Council denied review. (Tr. 12-28; 4-7.) The instant matter is before this court pursuant to 42 U.S.C. § 405(g).

STATEMENT OF FACTS

The facts of the case are set forth in the administrative hearing transcripts and record and will, therefore, only be summarized here.

At the time of the first hearing, Plaintiff was 31 years old. (Tr. 482.) He has a 10th grade education, and obtained a GED. (Tr. 132.) He is a single father, with two young boys, ages 4 and 5, one of whom has disabilities resulting from hydrocephalus. (Tr. 15; 491; 495.) Plaintiff's past work includes production supervisor for a CD duplication company, customer service jobs with an insurance company, technical support for an exercise equipment company, janitorial work, carpenter's assistant, night stocker at a grocery

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

2.7

store, pizza delivery man, and for a brief time he built pallets at a refrigeration company. (Tr. 504-506; 513.)

Plaintiff testified that he is the full-time caregiver for the children in the home, and he cooks, does housekeeping, takes the bus or walks to the grocery store, and feeds and cares for the children. (Tr. 465; 495-99.)

Plaintiff states he cannot work because he has severe pain in his back, legs and knees, and he suffers from depression, anxiety and panic attacks. (Tr. 131; 405A.)

STANDARD OF REVIEW

In Edlund v. Massanari, 253 F.3d 1152, 1156 (9th Cir. 2001), the court set out the standard of review:

A district court's order upholding the Commissioner's denial of benefits is reviewed de novo. Harman v. Apfel, 211 F.3d 1172, 1174 (9th Cir.2000). The decision of the Commissioner may be reversed only if it is not supported by substantial evidence or if it is based on legal error. Tackett v. Apfel, 180 F.3d 1094, 1097 (9th Cir.1999). Substantial evidence is defined as being more than a mere scintilla, but less than a preponderance. Id. at 1098. Put way, substantial evidence another is such evidence as a reasonable mind might accept as adequate to support a conclusion. Richardson v. Perales, 402 U.S. 389, 401, 91 S.Ct. 1420, 28 L.Ed.2d 842 (1971). If the evidence is susceptible to more than one rational interpretation, the court may not substitute its judgment for that of the Commissioner. Tackett, 180 F.3d at 1097; Morgan v. Commissioner of Social Sec. Admin., 169 F.3d 595, 599 (9th Cir.1999).

The ALJ is responsible for determining credibility, resolving conflicts in medical testimony, and resolving ambiguities. Andrews v. Shalala, 53 F.3d 1035, 1039 (9th Cir.1995). The ALJ's determinations of law are reviewed de novo, although deference is owed to a reasonable construction of the applicable statutes. McNatt v. Apfel, 201 F.3d 1084, 1087 (9th Cir.2000).

SEQUENTIAL EVALUATION PROCESS

Also in *Edlund*, 253 F.3d at 1156-1157, the court set out the requirements necessary to establish disability:

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

2.7

Under the Social Security Act, individuals who are "under a disability" are eligible to receive benefits. 42 U.S.C. "disability" is defined as 423(a)(1)(D). A medically determinable physical or mental impairment" which prevents one from engaging "in any substantial gainful activity" and is expected to result in death or last "for a continuous period of not less than 12 months." 42 U.S.C. § 423(d)(1)(A). Such an impairment must result "anatomical, physiological, or psychological abnormalities which are demonstrable by medically acceptable clinical and laboratory diagnostic techniques." 42 U.S.C. § 423(d)(3). The Act also provides that a claimant will be eligible for benefits only if his impairments "are of such severity that he is not only unable to do his previous work but cannot, considering his age, education and work experience, engage in any other kind of substantial gainful work which exists in the national economy...." 42 U.S.C. § 423(d)(2)(A). Thus, the definition of disability consists of both medical and vocational components.

evaluating whether claimant suffers In а from disability, an ALJ must apply a five-step sequential inquiry addressing both components of the definition, until a question is answered affirmatively or negatively in such a way that an ultimate determination can be made. C.F.R. $\S \S$ 404.1520(a)-(f), 416.920(a)-(f). claimant bears the burden of proving that [s]he disabled." Meanel v. Apfel, 172 F.3d 1111, 1113 (9th Cir.1999). This requires the presentation of "complete and detailed objective medical reports of h[is] condition from licensed medical professionals." Id. (citing C.F.R. §§ 404.1512(a)-(b), 404.1513(d)).

It is the role of the trier of fact, not this court, to resolve conflicts in evidence. Richardson, 402 U.S. at 400. If evidence supports more than one rational interpretation, the court may not substitute its judgment for that of the Commissioner. Tackett, 180 F.3d at 1097; Allen v. Heckler, 749 F.2d 577, 579 (9th Cir. 1984). Nevertheless, a decision supported by substantial evidence will still be set aside if the proper legal standards were not applied in weighing the evidence and making the decision. Brawner v. Secretary of Health and Human Services, 839 F.2d 432, 433 (9th Cir.1988). If substantial evidence exists to support the administrative findings, or if conflicting evidence exists that will support a finding of

2.7

either disability or non-disability, the finding of the Commissioner is conclusive. *Sprague v. Bowen*, 812 F.2d 1226, 1229-1230 (9th Cir. 1987).

SEQUENTIAL PROCESS

The Social Security Act (the "Act") defines "disability" as the "inability to engage in any substantial gainful activity by reason of any medically determinable physical or mental impairment which can be expected to result in death or which has lasted or can be expected to last for a continuous period of not less than 12 months." 42 U.S.C. §§ 423 (d)(1)(A), 1382c (a)(3)(A). The Act also provides that a Plaintiff shall be determined to be under a disability only if his impairments are of such severity that Plaintiff is not only unable to do his previous work but cannot, considering Plaintiff's age, education and work experiences, engage in any other substantial gainful work which exists in the national economy. 42 U.S.C. §§ 423(d)(2)(A), 1382c(a)(3)(B). Thus, the definition of disability consists of both medical and vocational components. Edlund v. Massanari, 253 F.3d 1152, 1156 (9th Cir. 2001).

The Commissioner has established a five-step sequential evaluation process for determining whether a claimant is disabled. 20 C.F.R. §§ 404.1520, 416.920. Step one determines if he or she is engaged in substantial gainful activities. If the claimant is engaged in substantial gainful activities, benefits are denied. 20 C.F.R. §§ 404.1520(a)(4)(I), 416.920(a)(4)(I).

If the claimant is not engaged in substantial gainful activities, the decision maker proceeds to step two and determines whether the claimant has a medically severe impairment or

combination of impairments. 20 C.F.R. §§ 404.1520(a)(4)(ii), 416.920(a)(4)(ii). If the claimant does not have a severe impairment or combination of impairments, the disability claim is denied.

If the impairment is severe, the evaluation proceeds to the third step, which compares the claimant's impairment with a number of listed impairments acknowledged by the Commissioner to be so severe as to preclude substantial gainful activity. 20 C.F.R. §§ 404.1520(a)(4)(ii), 416.920(a)(4)(ii); 20 C.F.R. § 404, Subpt. P, App. 1. If the impairment meets or equals one of the listed impairments, the claimant is conclusively presumed to be disabled.

If the impairment is not one conclusively presumed to be disabling, the evaluation proceeds to the fourth step, which determines whether the impairment prevents the claimant from performing work he or she has performed in the past. If plaintiff is able to perform his or her previous work, the claimant is not disabled. 20 C.F.R. §§ 404.1520(a)(4)(iv), 416.920(a)(4)(iv). At this step, the claimant's residual functional capacity ("RFC") assessment is considered.

If the claimant cannot perform this work, the fifth and final step in the process determines whether the claimant is able to perform other work in the national economy in view of his or her residual functional capacity and age, education and past work experience. 20 C.F.R. §§ 404.1520(a)(4)(v), 416.920(a)(4)(v); Bowen v. Yuckert, 482 U.S. 137 (1987).

The initial burden of proof rests upon the claimant to establish a *prima facie* case of entitlement to disability benefits. Rhinehart v. Finch, 438 F.2d 920, 921 (9th Cir. 1971); Meanel v.

Apfel, 172 F.3d 1111, 1113 (9th Cir. 1999). The initial burden is met once the claimant establishes that a physical or mental impairment prevents him from engaging in his or her previous The burden then shifts, at five, to occupation. step the Commissioner to show that (1) the claimant can perform other substantial gainful activity, and (2) a "significant number of jobs exist in the national economy" which the claimant can perform. Kail v. Heckler, 722 F.2d 1496, 1498 (9th Cir. 1984).

ALJ'S FINDINGS

At step one of the sequential evaluation process, the ALJ found Plaintiff has not engaged in substantial gainful activity since November 19, 2002, the application date. (Tr. 14.) At step two, he found Plaintiff has the following severe impairments: scoliosis of C6 through T2, dysthymia, generalized anxiety disorder, pain disorder, and personality disorder. (Tr. 14.) At step three, the ALJ found Plaintiff does not have an impairment or combination of impairments that meets or medically equals one of the listed impairments in 20 C.F.R. Part 404, Subpt. P, App. 1. (Tr. 23.) ALJ then determined:

[C] laimant has the residual functional capacity to perform light work as defined in 20 CFR 404.1567(b) 416.967(b). He can sit 1 hour at a time and stand and walk up to 5 hours in an 8-hour workday with short breaks to relieve back spasms. He can lift and carry 25 pounds occasionally and 15 pounds repeatedly. He can climb 2 flights of stairs 3-4 times and bend occasionally. He responds slowly to significant changes in the work setting and to normal work stressors, such as meeting production quotas. Pain behaviors exhibited in the work environment from time to time (weekly) may distract others. He cannot do higher level social interaction activities, but he is capable οf handling perfunctory routine interactions.

(Tr. 24.)

1

2

3

4

5

6

7

8

9

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

2.7

At step four, the ALJ found Plaintiff is unable to perform any past relevant work. (Tr. 27.) After taking into account Plaintiff's age, education, work experience, residual functional capacity and the testimony of a vocational expert, the ALJ concluded jobs, such as appointment clerk, information clerk or scheduling clerk, exist in significant numbers in the national economy that the claimant can perform. (Tr. 27-28.) Thus, the ALJ concluded Plaintiff has not been under a disability as defined in the Social Security Act since November 19, 2002, the date the application was filed. (Tr. 28.)

ISSUES

The question is whether the ALJ's decision is supported by substantial evidence and is free of legal error. Specifically, Plaintiff argues the ALJ improperly dismissed the opinions of "the three psychologists, and consultative medical sources all [] who diagnosed Hammond with a somatoform/pain disorder." (ECF No. 14 at 14-16.)

Additionally, Plaintiff argues that the hypothetical failed to

¹ Plaintiff argues that the ALJ erred by giving greater weight to the medical examiners, "the first of whom arguably provided legally erroneous testimony...." (ECF No. 14 at 16.) This is an apparent reference to Dr. Klein's opinion offered in the first proceeding that personality disorders are disabling only in "extreme conditions" (Tr. 540), which provided the basis for the ALJ's first decision finding no disability. Because Dr. Klein's testimony is mentioned nowhere and therefore is not a basis for the ALJ's second decision, this contention is not addressed.

include all of his nonexertional limitations. (ECF No. 14 at 17-18.) Defendant argues the ALJ properly considered the opinion evidence, determined Plaintiff's residual functional capacity, and determined Plaintiff is not disabled. (ECF No. 17 at 5-12.)

DISCUSSION

A. Psychological Opinions.

1. Pain/Somatoform Disorder

Plaintiff raises the argument that the ALJ improperly dismissed the opinions of three psychologists who diagnosed Plaintiff with a somatoform/pain disorder. As the Commissioner correctly points out, Plaintiff failed to adequately brief this issue with specificity. The court is unable to consider matters that are not "specifically and distinctly argued" in a party's brief. Carmickle v. Commissioner, Soc. Security Admin., 533 F.3d 1155, 1161 n.2 (9th Cir. 2008); Paladin Associates, Inc. v. Montana Power Co., 328 F.3d 1145, 1164 (9th Cir. 2003).

In addition, the court notes on *de novo* review of the record that the ALJ fully considered the reports of the three psychologists and adopted the diagnoses of "pain disorder." (Tr. 14.) For example, Dr. Mabee completed a consultative psychological assessment on December 7, 2005, and concluded that Plaintiff had better than average intellectual abilities, with mild recall difficulties, likely due to anxiety symptoms. (Tr. 134.) But, consistent with the ALJ's findings, Dr. Mabee found that Plaintiff could perform work tasks which require routine problem solving, he can concentrate for brief periods, work at a consistent self-pace, and complete simple, as well as complex task demands. (Tr. 135.) The ALJ adopted Dr. Mabee's opinion that Plaintiff's limitations included

2.7

limited abilities to analyze complex directions and to frequently interact with others. (Tr. 135.)

After a second examination in June, 2009, Dr. Mabee's diagnosis included a pain disorder. Dr. Mabee also concluded that Plaintiff's greatest limits would come from situations that involved complex directions and instructions while maintaining a sustained effort and pace and frequent interactions with others. (Tr. 409.) The ALJ specifically used Dr. Mabee's observations in the hypothetical, when he asked the VE to assume Plaintiff:

[W]ill respond slowly to significant changes in the work setting and also responds slowly and sometimes inappropriately to normal work stressors such as meeting production quotas. He may distract other workers in production or retail environments from time to time, reason, exhibiting pain behavior. . . Assume it's going to happen weekly.

(Tr. 605-06.) Because the ALJ used Dr. Mabee's noted limitations in the hypothetical, Plaintiff's contention fails.

Similarly, Pamela S. Ridgeway, Ph.D., examined Plaintiff in June 2006 and found he had, in part, a pain disorder Associated with Psychological Factors. (Tr. 468-69.) Dr. Ridgway opined that Plaintiff's cognitive abilities revealed no weaknesses that would hinder his ability to perform adequately in a work environment. The doctor also concluded that a review of medical records revealed his symptoms appear to be "in excess of the medical findings, and his presentation is strongly suggestive of a somatoform disorder." (Tr. 469.)

The ALJ's findings do not reject Dr. Ridgway's findings. Instead, the ALJ agreed with Dr. Ridgeway's general finding that Plaintiff's impairments can likely be contributed to his characterological issues: "[h]is primary problems appear to be

related to personality and social problems" (Tr. 26.) Dr. Ridgway's findings were adopted by the ALJ in crafting the RFC.

Finally, Christine R. Guzzardo, Ph.D., evaluated Plaintiff and her diagnosis concluded he had, in part, a Pain Disorder Associated with Psychological Factors. (Tr. 331.) Dr. Guzzardo noted Plaintiff's history of reporting physical symptoms that are inconsistent with medical evaluation, that his physical complaints appeared excessive and he failed to recognize the psychological component to his pain, and he instead chose to medicate. The ALJ acknowledged Dr. Guzzardo's opinion regarding Plaintiff's use of prescription medications and the ALJ's conclusion is consistent with the doctor's opinion. (Tr. 26.)

The RFC reflects the psychological component of Plaintiff's impairment, but the ALJ concluded that Plaintiff complaints about the severity of his pain were not entirely credible. The ALJ's credibility determination is not challenged by Plaintiff, is supported by the record, and the reasons for discounting Plaintiff's credibility are "clear and convincing." Lingenfelter v. Astrue,

² The ALJ found that Plaintiff's statements about the limiting effects of his symptoms were not credible. (Tr. 25.) Where the ALJ finds the claimant's testimony as to the severity of her pain and impairments is unreliable, the ALJ must make a credibility determination with findings sufficiently specific to permit the court to conclude that the ALJ did not arbitrarily discredit claimant's testimony. *Morgan v. Apfel*, 169 F.3d 595, 601-02 (9th Cir. 1999). In the absence of affirmative evidence of malingering, the ALJ's reasons must be "clear and convincing." *Lingenfelter*, 504

504 F.3d 1028, 1038-39 (9th Cir. 2007).

2. The GAF.

Plaintiff also asserts that because three psychologists assigned him a GAF rating under 60, this moderate rating would "usually, particularly considering the combination of the diagnoses, render a claimant disabled." (ECF No. 14 at 16.) Plaintiff provides no authority for this assertion. The Global Assessment Functioning (GAF) scale is a common tool for tracking and evaluating the overall psychological functioning of a patient. indicates "moderate symptoms (e.q., flat affect circumstantial speech, occasional panic attacks) OR moderate difficulty in social, occupational, or school functioning (e.g., no friends, unable to keep a job)." DSM-IV, at 32.

The Commissioner has explicitly disavowed any use of the GAF

15

16

17

18

19

20

21

22

23

24

25

26

27

28

1

2

3

4

5

6

7

8

9

10

11

12

13

F.3d at 1038-39; Vertigan v. Halter, 260 F.3d 1044, 1050 (9th Cir. 2001). The ALJ "must specifically identify the testimony she or he finds not to be credible and must explain what evidence undermines the testimony." Holohan v. Massanari, 246 F.3d 1195, 1208 (9th Cir. 2001) (citation omitted). In this case, the ALJ listed a number of appropriate considerations in making the credibility determination. (Tr. 25-26.) For example, the ALJ cited the evidence that Plaintiff was able to consistently care for multiple children, at least one of whom was disabled, perform all household tasks and he made inconsistent assertions to his medical providers. (Tr. 25-26.) The ALJ's findings related to credibility constitute "clear and convincing" reasons that are amply supported by substantial evidence in the record.

scores as an indicator of disability. In August 2000, the Commissioner, in discussing comments to the current mental disorder evaluation regulations, stated that "[t]he GAF scale . . . does not have a direct correlation to the severity requirements in our mental disorder listings." See 65 Fed. Reg. 50746-01, 50765 (August 21, 2000). While a GAF score thus may be "of considerable help" to the ALJ, for example, in assessing a claimant's residual functional capacity, "it is not essential" to the accuracy of that assessment. Howard v. Commissioner of Social Security, 276 F.3d 235, 241 (6th Cir. 2002). The "failure to reference the GAF score" in assessing a claimant's residual functional capacity in itself, therefore, does not make the residual functional capacity assessment inaccurate. Id.

Accordingly, to the extent there was any error here in the ALJ's failure to mention the GAF score, such error was harmless. See Stout v. Commissioner, Social Security Admin., 454 F.3d 1050, 1055 (9th Cir. 2006) (error harmless where non-prejudicial to claimant or irrelevant to ALJ's ultimate disability conclusion).

B. The Hypothetical

2.7

Plaintiff complains that the hypothetical posed to the vocational expert was improper because it failed to include all the nonexertional limitations outlined by Plaintiff's doctors, and specifically, the limitations "even as noted by Dr. Moore." (ECF No. 14 at 17.) Plaintiff fails to properly identify and argue the issue.

A hypothetical posed to a vocational expert must set forth all of the limitations and restrictions of a claimant. *Embrey v. Bowen*, 849 F.2d 418, 422 (9th Cir.1988). For the testimony of a vocational

expert to be reliable, the hypothetical posed must include all of the claimant's functional limitations, both physical and mental. Thomas v. Barnhart, 278 F.3d 947, 956 (9th Cir. 2002). A hypothetical which does not contain all of the limitations the ALJ found credible and supported by the record is defective. See Bayliss v. Barnhart, 427 F.3d 1211, 1217 (9th Cir. 2005).

Although the hypothetical may be based on evidence that is disputed, the assumptions in the hypothetical must be supported by the record. Andrews v. Shalala, 53 F.3d 1035, 1043 (9th Cir. 1995) (citing Gallant v. Heckler, 753 F.2d 1450, 1456 (9th Cir. 1984)).

It appears from the passage cited by Plaintiff this issue is based upon the VE's speculation that if the moderate limitations were to increase or become exacerbated, Plaintiff might not be able to work:

I mean, the two moderate limitations of significance, the ability to maintain attention and concentration and the ability to complete a normal workday, if those rise to where it's interfering with his job performance two, three times per month, that would be, you know, probably not acceptable.

(Tr. 611.)

2.7

The problem with Plaintiff's reliance upon this statement is two-fold: (1) the VE's conclusion is premised upon facts that are not in the record – the difficulties were assessed as moderate, and no evidence exists that the limitations will "rise"; and (2) the VE's conclusion is purely speculative and not based upon any medical evidence or opinion contained within the record. The isolated opinion by the VE is not based upon substantial evidence and, thus, the ALJ was free to reject the opinion. The ALJ need only include impairments in a hypothetical posed to a VE that are supported by

substantial evidence in the record. Osenbrock v. Apfel, 240 F.3d 1157, 1164 (9th Cir. 2001). Plaintiff's argument is not supported by the record and the ALJ did not err in constructing the hypothetical to the vocational expert.

In this case, the ALJ's hypothetical included the physical limitations as found by Dr. Jekyll. The hypothetical also included specific nonexertional limitations related to Plaintiff's psychological impairments, including his likely difficulties with complex directions and social interactions with the general public. The Plaintiff's vague argument that the ALJ erred by neglecting to include all his limitations in the hypothetical fails.

CONCLUSION

Having reviewed the record and the ALJ's findings, this court concludes the ALJ's decision is supported by substantial evidence and is not based on error. Accordingly,

IT IS ORDERED:

- 1. Defendant's Motion for Summary Judgment (ECF No. 16) is GRANTED.
- 2. Plaintiff's Motion for Summary Judgment (ECF No. 13) is DENIED.

The District Court Executive is directed to file this Order and provide a copy to counsel for Plaintiff and Defendant. Judgment shall be entered for Defendant and the file shall be CLOSED.

DATED June 30, 2011.

S/	CYNTHIA	A IMBROGNO	
UNITED S	STATES M	MAGISTRATE	JUDGE